U.S. Department
of Transportation

**Federal Aviation
Administration**

RECORDS MANAGEMENT PROGRAM HANDOUTS

FEBRUARY 1988

PREPARED BY:
Agency Records Officer, AMS-410

TYPES OF FILES

There are two (2) basic arrangements for files:

Numerical
Alphabetical

NOTE: All other arrangements are simply variations or combinations of these two.

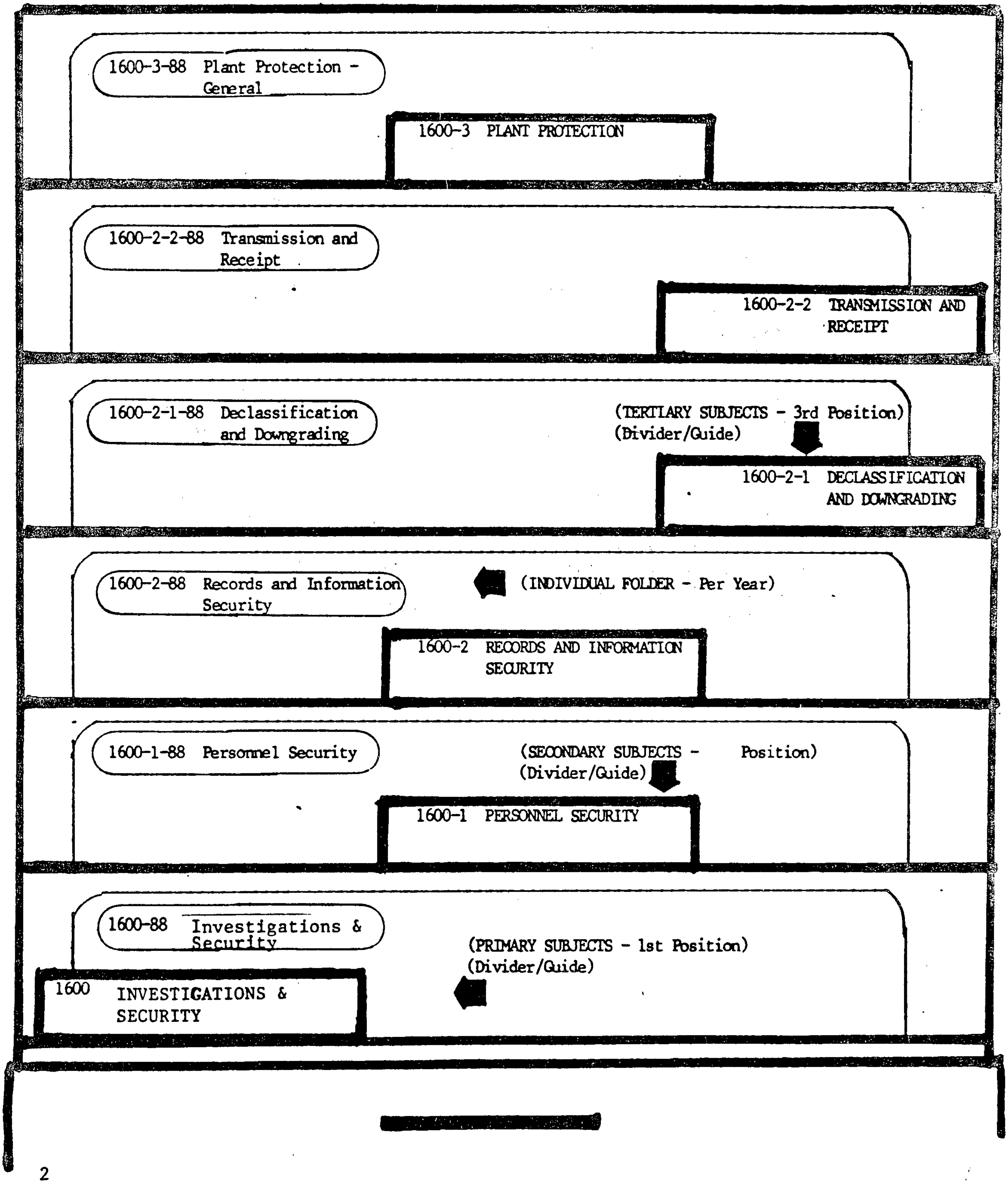
1. SUBJECT FILES are records which include correspondence, memoranda, reports, and other documents which are logically classified and filed under subject categories. In the subject file, documents are arranged by primary subjects and then by secondary and tertiary subjects which form subdivisions of the primary subjects.

   a. The FAA Standard Subject Classification System, FAA Order 0000.1F, is used for the classifying and filing of general correspondence and other documents to which reference is made by subject.

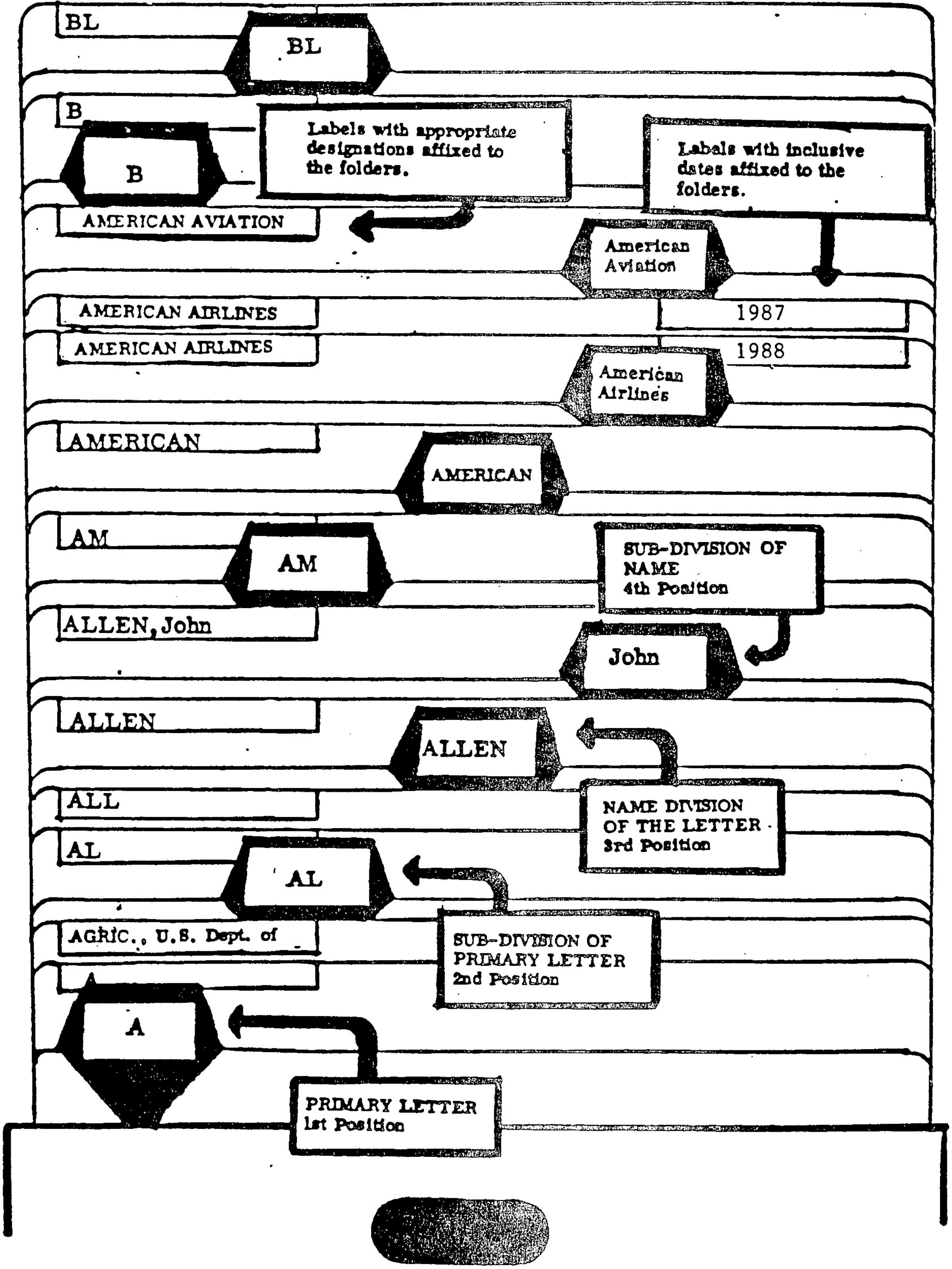
   b. Subdivisions are created by using the classification codes provided in FAA Order 0000.1F. Subdivisions are assigned arabic numerials to reduce time and effort in marking material for filing.

2. ALPHABETICAL NAME INDEX. It is difficult to determine in advance how large the index will be. It is advisable to start first with a folder for each letter of the alphabet and make folders for subdivisions of these letters as the file grows. Special folders for common names, such as "Smith", "Brown", "Adams", etc., and names of organizations or individuals with which the organization has request correspondence may be made as required.

SUBJECT FILE ARRANGEMENT


1600-3-88 Plant Protection - General
1600-3 PLANT PROTECTION
1600-2-2-88 Transmission and Receipt
1600-2-2 TRANSMISSION AND RECEIPT
1600-2-1-88 Declassification and Downgrading
(TERTIARY SUBJECTS - 3rd Position)
(Divider/Guide)
1600-2-1 DECLASSIFICATION AND DOWNGRADING
1600-2-88 Records and Information Security
(INDIVIDUAL FOLDER - Per Year)
1600-2 RECORDS AND INFORMATION SECURITY
1600-1-88 Personnel Security
(SECONDARY SUBJECTS - Position)
(Divider/Guide)
1600-1 PERSONNEL SECURITY
1600-88 Investigations & Security
(PRIMARY SUBJECTS - 1st Position)
(Divider/Guide)
1600 INVESTIGATIONS & SECURITY

ALPHABETICAL FILE INDEX


BL
BL
B
Labels with appropriate designations affixed to the folders.
Labels with inclusive dates affixed to the folders.
B
AMERICAN AVIATION
American Aviation
AMERICAN AIRLINES
1987
AMERICAN AIRLINES
1988
American Airlines
AMERICAN
AMERICAN
AM
AM
SUB-DIVISION OF NAME 4th Position
ALLEN, John
John
ALLEN
ALLEN
NAME DIVISION OF THE LETTER 3rd Position
ALL
AL
AL
AGRIC., U.S. Dept. of
SUB-DIVISION OF PRIMARY LETTER 2nd Position
A
PRIMARY LETTER 1st Position

SUBJECT FILES DIVIDED

An example of what the dividers in a subject file might look like is indicated below:

1600	Investigations and Security
1600-1	Personnel Security
1600-2	Records and Information Security
1600-2-1	Declassification and Downgrading
1600-2-2	Transmission and Receipt
1600-3	Plant Protection

NOTE: The above subject files represent PROGRAM FILES, not OFFICE ADMINISTRATIVE (HOUSEKEEPING) files. These files are arranged by PRIMARY, SECONDARY and TERTIARARY subjects.

APPENDIX 2. SUBJECT CLASSIFICATION CODES
SECTION 1. MAJOR TOPICS

0000	Checklists and Indexes
1000	Administration, Management, and Policies--General
1100	Organization, Authorities, and Functions
1200	External Relations
1300	Management Programs
1400	Civil Rights Programs
1500	Travel and Transportation
1600	Investigations and Security
1650	Civil Aviation Security
1700	Administrative Services
1800	Program Management and Appraisal
1900	Defense Readiness and Civil Defense
2000	Legal
2400	Financial Management--General
2500	Budget
2700	Accounting
2900	Auditing
3000	Training
3200	Personnel Management
3800	Insurance and Annuities
3900	Employee Health and Safety
4000	Agency Aircraft Management
4200	Supply Support Activities
4400	Acquisition and Procurement
4500	Logistics
5000	Airports--General
5300	Airports Design, Construction, and Maintenance
5400	Federally-Owned or Operated Airports
5900	Planning Grant Program
6000	Airway Facilities
6100	Data Systems
6200	Test Equipment--General
6300	Radar
6450	Central Operations Facilities
6500	Communications and Flight Assistance Facilities
6600	Communications Equipment
6700	Navigational Aids
6900	Plant and Structures
7000	Air Traffic Management--General
7100	Air Traffic Procedures
7200	Air Traffic Operations and Standards

7300	Communication Operations
7400	Airspace Allocation and Use
7500	Military Operations--Air Traffic
7700	Air Traffic Regulations
7800	Air Traffic Control Automation Programs
7900	Flight Information
8000	Flight Safety, Standards, and Procedures--General
8100	Airworthiness Certification
8200	Flight Inspection and Procedures
8300	Maintenance Certification and Surveillance
8400	Operations Certification and Surveillance
8500	Aeromedical Certification
8600	General Aviation Airworthiness
8700	General Aviation Operations
9000	Aviation Medicine--General
9500	Research and Development

THE FOLLOWING PRELIMINARY STEPS SHOULD BE TAKEN IN PREPARING DOCUMENTS FOR FILING:

1. REMOVE rubber bands, paper clips, pins, and other temporary fasteners.

2. DETERMINE that the file is complete and all enclosures are accounted for.

3. SEE that parts of another file are not accidentally attached.

4. MEND OR REINFORCE with transparent mending tape, all torn or frayed papers.

5. DESTROY identical duplicate copies. Keep originals and official file copies only.

6. REMOVE all copies of mail control forms, classified cover sheets, and routing slips, except those which contain remarks of record value.

7. INDICATE in the upper right-hand corner of the document, the file identification or number, e.g. Travel 1500 or 1320-1-88.

FILING THE MATERIAL

The real test of any file system is not how quickly material can be filed - anyone can place papers in a folder in the filing cabinet - but how quickly it can be produced when it is needed. Therefore, care should be exercised in processing, classifying, and filing the material.

ESTABLISHING A FILING PERIOD

Decide on a definite cut off or filing period of one or two years, or break case files by active and inactive cases, depending on the volume accumulated and the requirements of the office.

1. Correspondence Files: Annual Break

2. Budget and Accounting Records: End of the Fiscal Year

3. Case Files (e.g. Projects, Studies, Reports, etc.): Can be annually, or after a specific event, such as an audit, final payment, or completion of a project.

PREPARING A FILES INDEX AND AN OFFICIAL FILES LIST

A FILES INDEX is prepared by each file station at the beginning of each calendar or fiscal year and contains a current listing of all of the individual files and their subject headings (includes Office Administrative/Housekeeping and Program Files).

An OFFICIAL FILES LIST, FAA Form 1350-7, is prepared when an official files station is established. Revisions to the Official Files List shall be prepared when an subject area is cancelled/established, destruction standards have changed, or when the file is no longer required by the office file station.

OFFICE ADMINISTRATIVE (HOUSEKEEPING) FILES

Office Administrative (Housekeeping) Files are records which are accumulated by individual offices relating to the internal administration or housekeeping activities of the office, rather than the functions for which the office exists (Program Files).

In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies and office services and equipment requests and receipts; reading (day) files; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels), and other materials that do not serve as official documentation of the programs of the office.

These files are normally filed within the 1000 through 4999 classification series and are utilized by each office.

These files are normally destroyed when they are two years old or earlier, if the purpose has been served. A new file is established yearly.

SAMPLE OF AN OFFICE ADMINISTRATIVE (HOUSEKEEPING) FILES INDEX FOR 1988

1000	ADMINISTRATION, MANAGEMENT & POLICIES
1000-1-88	Office Administrative - General
1100	ORGANIZATION, AUTHORITIES & FUNCTIONS
1100-1-88	Organization, Authorities & Functions - General
1100-2-88	Delegation of Authority
1110	COMMITTEES AND CONFERENCES
1110-1-88	Committees and Conferences - General
1110-2-88	Human Relations Committee (HRC)
1300	MANAGEMENT PROGRAMS
1300-1-88	Paperwork Management - General
1320	DIRECTIVES MANAGEMENT
1320-1-88-1	Draft Directives Comments (January/February/March)
1320-1-88-2	Draft Directives Comments (April/May/June)
1320-1-88-3	Draft Directives Comments (July/August/September)
1320-1-88-4	Draft Directives Comments (October/November/December)
1360	CORRESPONDENCE MANAGEMENT
1360-88-1	Reading Files - January
1360-88-2	Reading Files - February
1360-88-3	Reading Files - March
1360-88-4	Reading Files - April
1360-88-5	Reading Files - May
1360-88-6	Reading Files - June
1360-88-7	Reading Files - July
1360-88-8	Reading Files - August
1360-88-9	Reading Files - September
1360-88-10	Reading Files - October
1360-88-11	Reading Files - November
1360-88-12	Reading Files - December
1500	TRAVEL AND TRANSPORTATION
1500-1-88	Travel - General
1500-2-88	Travel Vouchers
1500-3-88	Advance of Funds
1500-4-88	Travel Orders
1600	INVESTIGATIONS & SECURITY
1600-1-88	Security Information & Clearances - General
1760	OFFICE SERVICES
1760-1-88	Office Services Requests - General

1800	PROGRAM MANAGEMENT AND APPRAISAL
1800-1-88	Program Management and Appraisal - General
1800-2-88	Management Information System (MIS)
1800-3-88	Performance Indicators
1800-4-88	Goals and Objectives
1800-5-88	Quarterly Program Reviews
1800-6-88	Significant Activity Report
2500	BUDGET
2500-1-88	Budget - General
2700	ACCOUNTING
2700-1-88	Unvouchered Travel
2730	TIME & ATTENDANCE RECORDS (T&A'S)
2730-1-88	Time & Attendance Records (T&A's)
3000	TRAINING
3000-1-88	Training - General
3200	PERSONNEL MANAGEMENT
3200-1-88	Personnel Management - General
3290	PERSONNEL ACTIONS (SF-52)
3290-1-88	Personnel Actions (SF-52)
3450	EMPLOYEE RECOGNITION & INCENTIVES
3450-1-88	Employee Recognition & Incentives - General
4415	PROCUREMENT REQUESTS
4415-1-88	Procurement Requests
4500	LOGISTICS
4500-1-88	Logistics - General

This index is only a sample of the Office Administrative (Housekeeping) Files for 1988. These files are inherent to almost every office within the Federal Aviation Administration. Each office, regardless of whether it is an Office, Service, Region, Center, or Field Facility, utilizes these types of files during the course of a normal work day.

These files are arranged by the Subject Classification Codes System and the year in which the files were established. These files can easily be destroyed since all of the files have the same year identification. Interfiling several years in one folder, and then purging each folder each year, is inefficient and poor records management. At the end of each calendar (or fiscal) year, move the entire block of records to a separate drawer and add the new calendar (or fiscal) year folders to the empty drawer. When the records are two years old, they can easily be destroyed by pulling the contents of the entire drawer instead of a folder to folder search.

A HELPFUL HINT: Use a different colored label each year, helps to separate and identify the current year's folders from the previous year's folders. This procedure helps in the process of retrieving or filing folders easily. For example:

1988 Office Administrative Files	yellow labels
1987 Office Administrative Files	blue labels
1986 Office Administrative Files	red files

PROGRAM FILES

Program Files are files which are uniquely inherent to the operation of each individual office. These files are accumulated by the office(s) responsible for the established program. For example:

Office/Service Title	Sample Program Areas
Office of Civil Aviation Security	Air Carrier and Airport Violations (1650 series)
	Civil Aviation Security Rulemaking Project Files (1650 series)
Human Resource Management	Personnel Program Records (3290 series)
	Employment Records (3300 series)
	Position Classification (3500 series)

NOTE: The title of each subject area corresponds to the appropriate subject classification series. Refer to FAA Order 0000.1F.

SAMPLE OF A PROGRAM FILES INDEX
FOR 1988

1600
INVESTIGATIONS AND SECURITY

1600	INVESTIGATIONS AND SECURITY
1600-88	Investigations and Security - General
1600-87	Investigations and Security - General
1600-86	Investigations and Security - General
1600-1	PERSONNEL SECURITY
1600-1-88	Personnel Security - General
1600-1-87	Personnel Security - General
1600-1-86	Personnel Security - General
1600-2	RECORDS AND INFORMATION SECURITY
1600-2-88	Records and Information - General
1600-2-87	Records and Information - General
1600-2-86	Records and Information - General
1600-2-1	DECLASSIFICATION AND DOWNGRADING
1600-2-1-88	Declassification and Downgrading - General
1600-2-1-87	Declassification and Downgrading - General
1600-2-1-86	Declassification and Downgrading - General
1600-2-2	TRANSMISSION AND RECEIPT
1600-2-2-88	Transmission and Receipt - General
1600-2-2-87	Transmission and Receipt - General
1600-2-2-86	Transmission and Receipt - General
1600-3	PLANT PROTECTION
1600-3-88	Plant Protection
1600-3-87	Plant Protection
1600-3-86	Plant Protection

This index is only a sample of the Program Files that could be established for an office whose primary programs involve security related program areas. Establishing case files/project files can easily be created by separating studies/projects each year. For example:

SAMPLE OF A CASE/PROJECT FILES INDEX

1310-1	MANAGEMENT ANALYSIS, SURVEYS, AND EVALUATIONS
	1988
1310-1-88-1	SF-52 Study
1310-1-88-2	T & A Survey
1310-1-88-3	Workflow Feasibility of the Air Traffic Service
	1987
1310-1-87-1	Airport Relocation Study
1310-1-87-2	Air Safety Operations in the Regions/Centers
1310-1-87-3	Microfiche Study for Field Facilities

Each study/project folder is identified with the year in which it was created and a sequential number of the study/project, which is inherent to only that study. A breakdown of the identification is as follows:

1310-1-88-1

Subject Classification Code
Specific Identification of Subject Area
Calendar (or Fiscal) Year
Sequential Identification Number of Study

By separating the years, transfer or destruction of the records can be easily accomplished by retiring/destroying a block of records at one time.

A HELPFUL HINT: While the Office Administrative (Housekeeping) Files should be prepared with different colored labels each year, Program Files should be prepared with the same colored label each year in order to distinguish it from the Office Administrative Files. For example:

Office Administrative Files	1988	yellow labels
	1987	blue labels
	1986	red labels
Program Files		All folders, green labels

By separating the folders with different colored labels, folders can easily be identified as Office Administrative or Program Area files.

OFFICIAL FILES LIST

OFFICIAL FILES LISTS, FAA Form 1350-7, serves as a convenient document which describes the contents of each file station and should be kept as the first files item in a file station. Calendar or Fiscal Year dates SHOULD NOT BE INCLUDED on an Official Files List. Remember, these Official Files Lists are used for describing each group of records with their disposal actions, not the actual folders. A Files Index is used to identify individual folders. A typical files station may include the following:

Office Administrative (Housekeeping) Files
Program Files
Reference Files
Blank Forms Files
Binders, Books, Pamphlets, and other types of files
Electronic Files, e.g., WordProcessing/Database documents and files
Microforms (microfiche, microfilm, etc.)
Maps, drawings, etc.

RECORD SERIES OR SUBJECT AREAS, listed on an Official Files List, are composed according to the largest, practical grouping of separately organized and logically related materials which have a specific purpose of reference and disposal.

THESE LISTS insure that all file items are approved, named, and described with the appropriate authorized standards for their arrangement, cut-off, transfer and destruction.

OFFICIAL FILES LISTS, FAA Form 1350-7, are prepared when an official files station is established. Revisions to the Official Files List shall be prepared when an established subject area is cancelled/established, destruction standards have changed, or when the file is no longer required by the office file station.

SAMPLES OF THE OFFICIAL FILES LISTS: See the following samples of Official Files Lists for Office Administrative (Housekeeping) Files and Program Files.

OFFICIAL FILES LIST RIS: MS 1350-6

FAA Form 1350-7 (7-79) SUPERSEDES FAA FORM 2879-1

See *Instructions* on Reverse
(Includes ALL files of this organization)

DATE
(Date Prepared)

1. ORGANIZATION | ROUTING SYMBOL
(Branch or Division/Staff Office and Routing Symbol of File Station Location)

3. OTHER ORGANIZATIONS OR PERSONS USING THIS FILE STATION
(Division/Staff Office or Office/Service and Routing Symbol of Originating Files Station)

5. TOTAL FILE VOLUME (Cu. Ft.)
(Actual Cu.Ft.of File Material)

2. PREPARED BY | ROUTING SYMBOL
(Name/Signature and Routing Symbol of Office/ Service Records Officer)

4. APPROVED BY | ROUTING SYMBOL
(Name/Signature, Title, and Routing Symbol of the Agency's Records Officer in AMS-410)

6. TOTAL FILE CAPACITY (Cu. Ft.)
(Total File Equipment Space)

7. TITLE
Office Administrative (Housekeeping) Files

8. DESCRIPTION

1000-1 Office Administrative - General
General correspondence on administration management. General information which is not applicable to any other file area. Catch-all for correspondence that you don't know what to do with.

9. ☐ SECURITY CLASSIFIED ☐ VITAL RECORDS
10. AUTHORITY (Order 1350.15: Schedule Item No.) FAA 1350.15B,Chap.2,par a. & e.
11. FILE BREAK Annual (Calendar)
12. ARRANGEMENT FAA Subject Classification Codes System
13. DESTROY (Yrs) After 2
TRANSFER (Yrs) No
RETAIN (X) No
14. TIME COVERED FROM JAN TO DEC
15. CUBIC FEET 1
16. EQUIPMENT
LETTER
LEGAL
X OTHER (Name) Lateral

1100-1 Organization, Authorities & Functions
General correspondence and information concerning reorganizations, organizational reviews, information, etc.

1100-2 Delegation of Authority
Correspondence on temporary Delegations of Authority, e.g. Whose Acting for Whom?

9. ☐ SECURITY CLASSIFIED ☐ VITAL RECORDS
10. AUTHORITY (Order 1350.15: Schedule Item No.)
11. FILE BREAK
12. ARRANGEMENT
13. DESTROY (Yrs)
TRANSFER (Yrs)
RETAIN (X)
14. TIME COVERED FROM TO
15. CUBIC FEET
16. EQUIPMENT
LETTER
LEGAL
OTHER (Name)

1110-1 Committees and Conferences - General
General correspondence and information meetings and conferences.

1110-2 Human Relations Committee (HRC)
General correspondence and information concerning the Human Relations Committees.

9. ☐ SECURITY CLASSIFIED ☐ VITAL RECORDS
10. AUTHORITY (Order 1350.15: Schedule Item No.)
11. FILE BREAK
12. ARRANGEMENT
13. DESTROY (Yrs)
TRANSFER (Yrs)
RETAIN (X)
14. TIME COVERED FROM TO
15. CUBIC FEET
16. EQUIPMENT
LETTER
LEGAL
OTHER (Name)

1300-1 Paperwork Management - General
General correspondence and information concerning the Directives, Forms, Reports and Records Management Program areas. May also include Correspondence and Micrographics Management Programs.

9. ☐ SECURITY CLASSIFIED ☐ VITAL RECORDS
10. AUTHORITY (Order 1350.15: Schedule Item No.)
11. FILE BREAK
12. ARRANGEMENT
13. DESTROY (Yrs)
TRANSFER (Yrs)
RETAIN (X)
14. TIME COVERED FROM TO
15. CUBIC FEET
16. EQUIPMENT
LETTER
LEGAL
OTHER (Name)

OFFICIAL FILES LIST RIS: MS 1350-6
FAA Form 1350-7 (7-73) SUPERSEDES FAA FORM 2079-1

See *Instructions on Reverse*
(Includes ALL files of this organization)

1. ORGANIZATION (Branch or Division/Staff Office and Routing Symbol of File Station Location)	ROUTING SYMBOL	3. OTHER ORGANIZATIONS OR PERSONS USING THIS FILE STATION (Division/Staff Office or Office/Service and Routing Symbol of Originating Files Station)	DATE (Date Prepared) 5. TOTAL FILE VOLUME (Cu. Ft.) (Actual Cu.Ft.of File Material)
2. PREPARED BY (Name/Signature and Routing Symbol of Office/ Service Records Officer)	ROUTING SYMBOL	4. APPROVED BY (Name/Signature, Title, and Routing Symbol of the Agency's Records Officer in AMS-410) ROUTING SYMBOL	6. TOTAL FILE CAPACITY (Cu. Ft.) (Total File Equipment Space)

7. TITLE 1600 Investigations and Security - General	9. ☒ SECURITY CLASSIFIED ☐ VITAL RECORDS	13. DESTROY (Yrs) After 4	15. CUBIC FEET 1
8. DESCRIPTION Correspondence, reports and related materials accumulated in the administration and direction of security and protective security programs.	10. AUTHORITY (Order 1350.15: Schedule Item No.) FAA 1350.15B,Item 1600,1.a.	TRANSFER (Yrs) No	16. EQUIPMENT X LETTER
	11. FILE BREAK Annual (Calendar)	RETAIN (X) No	LEGAL
	12. ARRANGEMENT FAA Subject Classification Codes System	14. TIME COVERED FROM JAN TO DEC	OTHER (Name)

7. TITLE 1600-1 Personnel Security	9. ☒ SECURITY CLASSIFIED ☐ VITAL RECORDS	13. DESTROY (Yrs) After 4	15. CUBIC FEET 1
8. DESCRIPTION Correspondence, reports and related materials relating to personnel security program areas.	10. AUTHORITY (Order 1350.15: Schedule Item No.) FAA 1350.15B,Item 1600,1,a.	TRANSFER (Yrs) No	16. EQUIPMENT X LETTER
	11. FILE BREAK Annual (Calendar)	RETAIN (X) No	LEGAL
	12. ARRANGEMENT FAA Subject Classification Codes System	14. TIME COVERED FROM JAN TO DEC	OTHER (Name)

7. TITLE 1600-2 Records and Information Security	9. ☒ SECURITY CLASSIFIED ☐ VITAL RECORDS	13. DESTROY (Yrs) N/A	15. CUBIC FEET 1
8. DESCRIPTION Correspondence requests on employees' security information.	10. AUTHORITY (Order 1350.15: Schedule Item No.) FAA 1350.15B,Item 1600, 22,a.(3)	TRANSFER (Yrs) After 4	16. EQUIPMENT X LETTER
	11. FILE BREAK Annual (Calendar)	RETAIN (X) X	LEGAL
	12. ARRANGEMENT FAA Subject Classification Codes System	14. TIME COVERED FROM JAN TO FEB	OTHER (Name)

7. TITLE 1600-2-1 Declassification and Downgrading	9. ☒ SECURITY CLASSIFIED ☐ VITAL RECORDS	13. DESTROY (Yrs) After 20	15. CUBIC FEET 2
8. DESCRIPTION Correspondence relating to declassification and downgrading of employees, not included in case file.	10. AUTHORITY (Order 1350.15: Schedule Item No.) FAA 1350.15B,Item 1600, 22,a.(4)	TRANSFER (Yrs) After 4	16. EQUIPMENT X LETTER
	11. FILE BREAK Annual (Calendar)	RETAIN (X) No	LEGAL
	12. ARRANGEMENT FAA Subject Classification Codes System	14. TIME COVERED FROM JAN TO DEC	OTHER (Name)

MAINTAINING THE FILES

Neatness and orderliness are the essence of filing efficiency. Following the checklist indicated below, will help to maintain the office files in a neat and orderly manner:

YES	NO	
	x	Are there any loose papers in the file?
x		Have you secured all of the papers of the file with a metal fastner?
x		Are the papers straight?
x		Have you made sure that there are no edges of the papers that are extended beyond the folder?
x		Are the folder labels in the correct position on the folder?
x		Have you avoided overloading the file?
x		Have you identified the file drawers, labeled them?
x		Is the file material current?

If your answers are different than the answers above, go back and review your filing procedures until you can successfully complete this checklist with the correct answers.

HELPFUL HINTS FOR GOOD RECORDS MANAGEMENT

1. ALWAYS prepare a Files Index annually.

2. Prepare the Files Index on your computer for easy updates.

3. Prepare an Official Files List, FAA Form 1350-7, for each file station.

4. Distribute a copy of the Files Index and Official Files List to EACH employee in your office for information and use. Issue new copies when changes occur.

5. Prepare documents for filing by indicating the file number in the upper right corner of the document, arrange each document numerically, and then file the document in the appropriate folder.

6. A good records management system ALWAYS begins with a good correspondence management program. When preparing correspondence in your office, follow these simple steps to better records management:

   a. When preparing a document, the basic package should consist of the original memorandum, yellow grid copy, reading file copy and, as an option, a copy for the originator of the correspondence. Carbon copies are added, as required.

   b. Reading File copies should be on colored tissue, in order to distinguish these documents from other file copies.

   c. Attachments or enclosures SHOULD NOT be attached to the Reading File copies.

   d. When preparing documents that would not require a yellow grid, ALWAYS prepare one copy for the FILE and one copy for the READING FILE.

   e. When preparing correspondence, a standard procedure for identifying the distribution and filing process of the correspondence should be included with the carbon copy (cc) section at the end of each document:

cc:	AMS-410	(Originator's Routing Symbol)
	AMS-410 r/f	(Office Reading File Copy)
	AMS-400/ASM-10	(Routing Symbols of other cc's)
file:	1500-1	(File Identification Number)
wp:	Doc. 0234a	(Wordprocessing document number)

   f. Originators should be encouraged to use their FILES INDEX and OFFICIAL FILES LIST when preparing correspondence.

7. Place the current month's READING FILE copies on a clipboard in a central location for easy access by the entire office. At the beginning of each month, transfer the previous month's Reading File copies to the file folders and begin with the current month on the clipboard.

8. DO NOT FILE duplicate documents. One copy is PLENTY!

RECORDS SCHEDULES

1. RETENTION, TRANSFER AND DESTRUCTION OF RECORDS: Authorized by the Archivist of the United States.

2. AUTHORIZATIONS: FAA Order 1350.15B, FAA Records Organization, Transfer and Destruction Standards.

3. TEMPORARY MATERIALS: Can be destroyed without archival approval.

TRANSFER OF RECORDS

1. Retain ONLY a minimum volume of records.

2. Normally, a small volume of records should not be transferred if they have a retention period of less than 3 years remaining.

3. Do not transfer small amounts of records (less than one cubic foot). Wait until at least one or two boxes are ready to transfer.

RECORDS TRANSFER AND DESTRUCTION

Three IMPORTANT objectives of Records Management are:

1. PRESERVE records of continuing value

2. PROMPTLY AND SYSTEMATICALLY dispose of records of temporary value as soon as they have served the purpose for which they were created.

3. REMOVE NONCURRENT RECORDS from office space anf filing equipment to cheaper storage facilities, thereby improving the use of the files and reducing maintenance costs.

CUT-OFF PROCEDURES

1. Systematic records retirement and disposal are an essential part of the filing system.

2. "Cut-off" or "Break" each file regularly and start a new file.

3. Screening of files on a paper-to-paper basis should not be undertaken for either the retirement of destruction of files.

   a. The material to be eliminated should be on a bulk basis.

   b. Complete folders can be removed.

   c. Disposable material can be easily separated from individual folders as in the case of temporary records filed on the left side of a folder.

PROCEDURES FOR PREPARING RECORDS FOR TRANSFER

The OPI shall transfer records in accordance with FAA Order 1350.15B, Records Transfer and Destruction. A new SF-135, Records Transmittal and Receipt form shall be prepared for each series of records to be sent to the FRC. Only 1 series and destruction date per SF-135. Multiple series or destructions should be separated into separate SF-135 forms. Reserved Accession Numbers can be obtained from the Agency Records Officer, AMS-410.

PREPARING THE BOXES FOR TRANSFER

1. Tuck-bottom boxes (NSN: 8115-00-117-8249) should be used for records being sent to the Federal Records Center (FRC).

2. Interfold the flaps on the top of the boxes. Do not tape the top of the boxes.

3. On the short side of the box(es), in the upper right corner of the box(es), indicate the number of each box. For example, if there are 32 boxes to be sent, the box numbers would be: 1 of 32, 2 of 32, 3 of 32, etc.

4. On the short side of the box(es), in the upper left corner of the box(es), indicate the reserved accession number from the AMS-410 Agency Records Officer. An example of an accession number and what it means is as follows:

237-88-024

FAA Identification — 237
Fiscal Year — 88
Assigned Sequential Number — 024

GUIDE FOR COMPUTING RECORDS VOLUME

GROUP A: By filing cabinet drawer and by shelf filing or lateral files (estimate to nearest degree of fullness)

	Cubic Feet			
	Full	3/4 Full	1/2 Full	1/4 Full
Filing cabinet drawer (24" deep)				
Letter size..................	1.5	1.125	.75	.375
Legal size..................	2.0	1.5	1.0	.5
Shelf file or Lateral files (36" wide)........................				
Letter size..................	2.25	1.688	1.125	.563
Legal size..................	2.75	2.063	1.375	.688
Card file drawer (16" deep)				
For 5 x 3" cards............	.133	.1	.066	.033
For 6 x 4" cards............	.213	.166	.106	.054
For 8 x 5" cards............	.333	.25	.166	.083
For 10 x 8" cards...........	.666	.5	.333	.166
Tabulating card drawer (27" deep).	.375	.281	.187	.094

GROUP B: By unit count--Estimate to nearest 1/2 unit

Cards by size.....................	5 x 3"	4 x 6"	8 x 5"	10 x 8"
As used in visible files (Unit is 100 cards).........	.0083	.013	.021	.083
Plastic microfilm record card (Microfilm inserted into channels in card) (Unit is 100 cards)	.025	.04	.063	.245
Plastic microfilm record card (Microfilm cemented or fused to plastic) (Unit is 100 cards)	.0166	.025	.042	.166

3 ring binders, standard, as used for directives, notices, etc. (Unit full binder)

1" thickness	.05 c.f.	2" thickness	.1 c.f.

Maps, plans, drawings, etc. (maintained in map or plan cabinets, on hangers or in rolls). Unit is 100 times of each given size:

8 x 10 1/2"	.025 c.f.
11 x 17"	.05
17 x 22"	.10
22 x 34"	.20
34 x 44"	.40

28 x 40"	.3 c.f.
28 x 50"	.35
34 x 50"	.45
40 x 50"	.5

Microfilm roll (35 mm) (unit 100 ft. roll)....085 cu. ft.
Magnetic tape (7 reels) ....1.0 cu. ft.

GROUP C: Other computations

Record shipment and storage boxes (14 3/4 X 12 X 9 1/2 inches)............1.0 cu.ft.

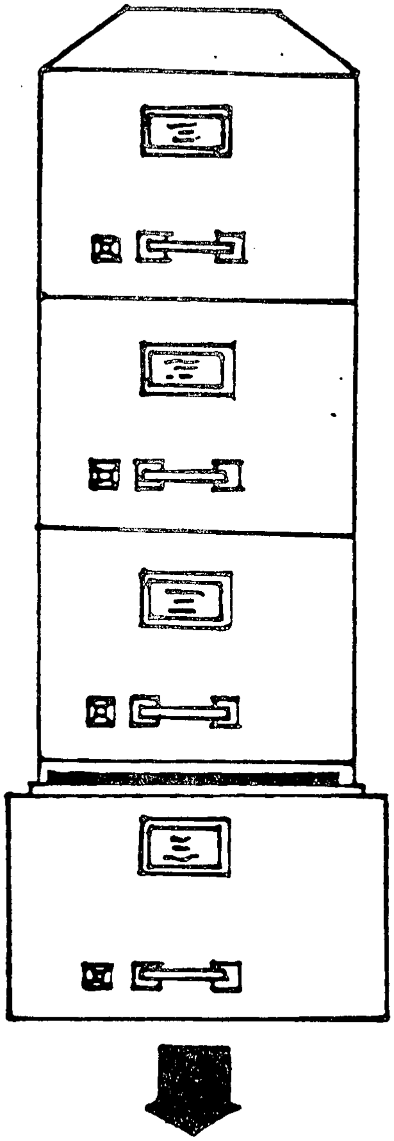
Outsized equipment .... compute inside cubic measurements.

PACKING RECORDS

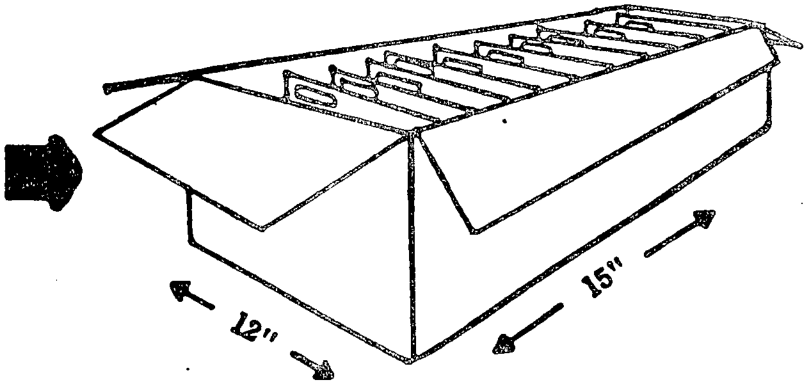
Two letter file
drawers=
three containers

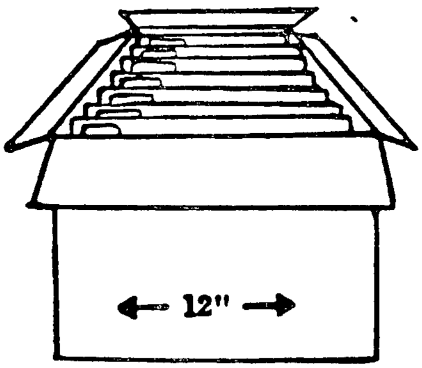
One legal file
drawer=
two containers

Use Tuck-Bottom Boxes:
NSN: 8115-00-117-8249

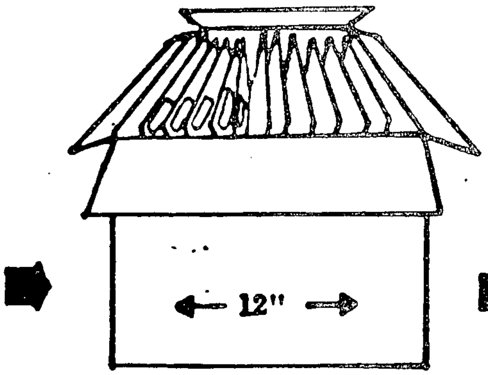


One cubic foot

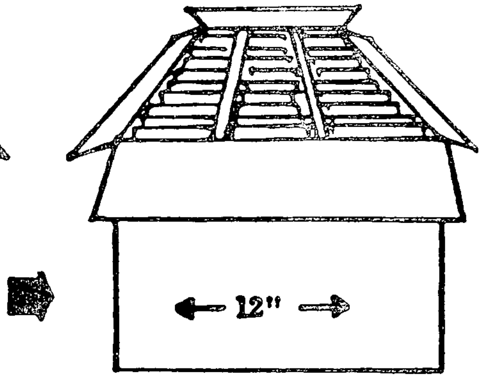




Letter size
documents

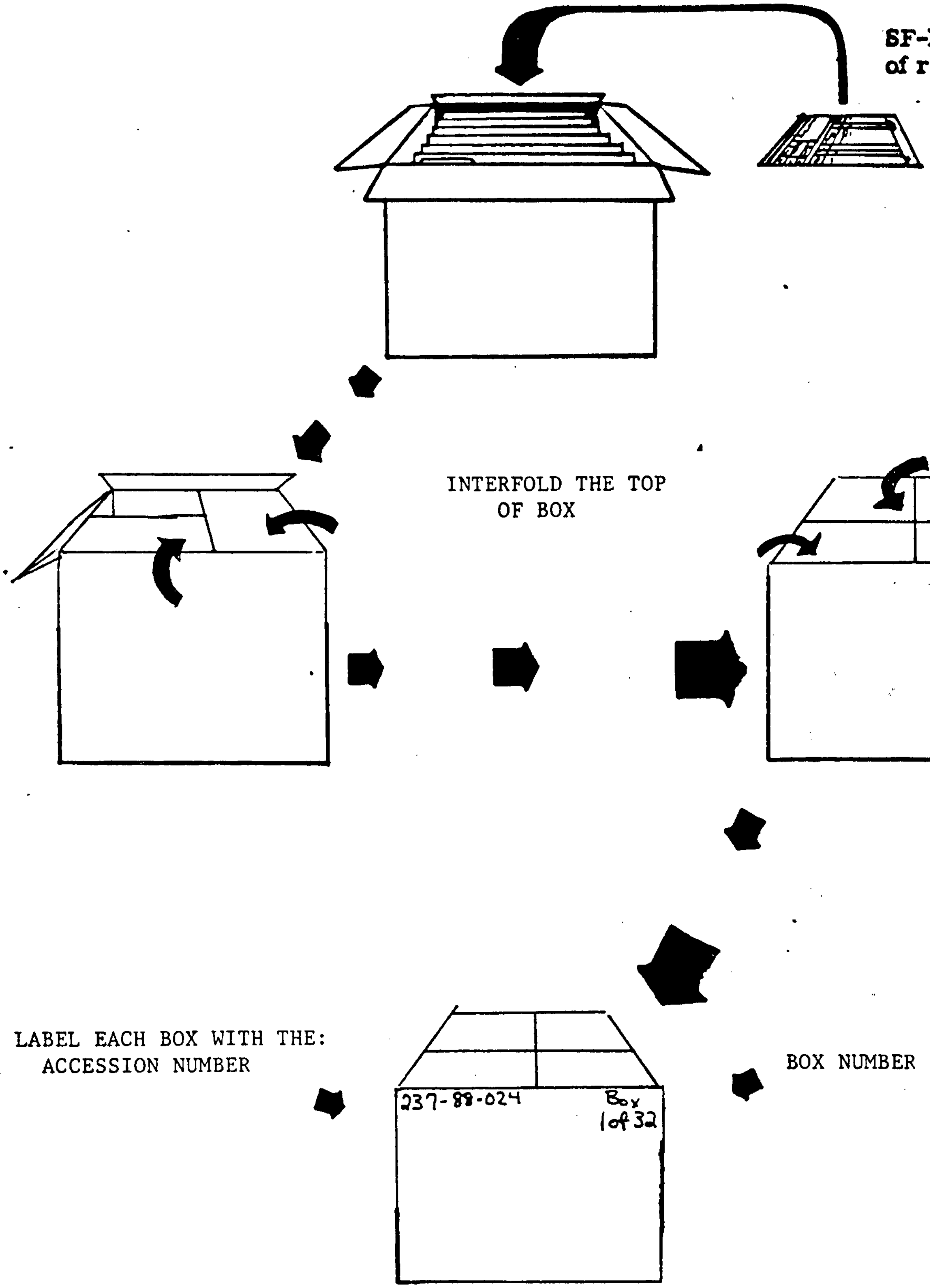


Legal size
documents



Odd size 3" x 5"
documents 4" x 6"
5" x 8", etc.

PROCEDURES FOR PREPARING A BOX FOR THE FRC


237-88-024
Box
1 of 32

SF-135 = Place on top of records in first box

INTERFOLD THE TOP
OF BOX

LABEL EACH BOX WITH THE:
ACCESSION NUMBER

BOX NUMBER

PREPARING THE SF-135, RECORDS TRANSMITTAL AND RECEIPT FORM

1. The OPI shall type an original and four copies of the SF 135, Records Transmittal and Receipt Form. Use SF-135A, Records Transmittal and Receipt Continuation Sheet, if the records description continues onto another page.

2. The OPI shall indicate the following on the SF-135:

a. Block 1 - leave blank

b. Block 2 - "Agency Records Officer, AMS-410"

c. Block 3 - see below

(1) In the block titled "Aency Contact" indicate the Routing Symbol of the OPI, e.g, "AVN-300".

(2) In the block titled "Transferring Agency Liaison Official", indicate the Office/Service Records Officer's name, routing symbol, and telephone number, e.g., "Sally Jones, AVN-12, 267-9870".

d. Block 4 - leave blank

e. Block 5 - see below:

Federal Aviation Administration
Agency Records Officer, AMS-410, Room 605
800 Independence Avenue, S.W.
Washington, DC 20591

f. Block 6(a) - FAA identification, "237"

g. Block 6(b) - Fiscal Year, e.g., "88"

h. Block 6(c) - Sequential Number, e.g.,"002"

i. Block 6(d) - Total Number of boxes,e.g.,"32"

j. Block 6(e) - Individual box numbers. Only indicate these numbers when the description of the boxes in Block 6(f) includes a breakdown of the contents of each box, e.g. 1 of 32, 2 of 32, etc.

k. Block 6(f) - Contains the description of the contents of the transferred records in accordance with FAA Order 1350.15B. The description of the records contains a General Description of the records and, when necessary, a description breakdown of the folders or subject contents of each box.

General Description

Contains the Title of the Records, a brief description of the contents of the records, and the "Closed as of" date. The General Description IS ALWAYS indicated on the SF-135. An example of the General Description is as follows:

> Aircraft Maintenance Instruction Files
> Contains aircraft electronic modifications
> and field maintenance bulletins.
> Closed as of September 1988.

NOTE: The records description is a brief statement utilizing some of the key words found in FAA Order 1350.15B.

A Description Breakdown of Folders or Box Contents

Contains the name/number of each folder or subject contents of each box of the shipment. This part is used WITH the General Description, NOT INSTEAD OF the General Description. The breakdown should be indicated FOLLOWING the brief general description. For example:

	Aircraft Maintenance Instruction Files Contains aircraft electronic modifications and field maintenance bulletins. Closed as of September 1988.	(General Description)

1 of 32	4100-1-88-1	Cessna Modifications	(Individual Folder Breakdown)
	4100-1-88-2	Culver Cadet Modifications	
	4100-1-88-3	Piper Modifications	

-or-

1 of 32	Cessna Modifications	(Box Contents With Subject Identification)
2 of 32	Culver Cadet Modifications Piper Modifications	

NOTE: In the first example, each individual folder was identified, while in the second example, an entire box may contain one or more folders on the different subjects. However, all of the records have the same disposal action and closing date. By indicating the description breakdown, access to the correct box and folder/materials can be accomplished quickly.

l. Block 6(g) - Always indicated "R"

m. Block 6(h) - Disposal Authority and Schedule Item number e.g, "FAA Order 1350.15B, Item 1320,1,a,(3)"

n. Block 6(i) - Disposal Date according to FAA Order 1350.15B, e.g., "10/99".

o. Block(j),(k),(l),and (m) - leave blank

NOTE: The OPI should, after completion of the SF-135, retain one copy of the SF-135 and forward the original and three copies to the Office/Service Records Officer for review and approval.

3. The Office/Service Records Officer shall review the SF-135 in accordance established procedures and assure that the boxes are packed and labeled properly. The Office/Service Records Officer shall then sign/date in Block 3 of the SF-135 and forward the original and three copies to the Agency Records Officer in AMS-410.

4. The Agency Records Officer, AMS-410, shall review/approve the SF-135 for transfer of the records, retain one copy of the approved SF-135 and forward the original and two copies of the SF-135 to the the Washington National Records Center (WRNC) in Washington, DC.

NOTE: The WRNC shall review/authorize the SF-135 for transfer.

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF PAGES

1. TO (*Complete the address for the appropriate records center serving your area*)

Federal Archives and Records Center
General Services Administration

As shown in FPMR 101-11.410-1 ▶ (Leave blank)

5. FROM (*Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address*)

Federal Aviation Administration
Agency Records Officer, AMS-410, Room 605
800 Independence Avenue, S.W.
Washington, DC 20591

2. AGENCY TRANSFER AUTHORIZATION — TRANSFERRING AGENCY OFFICIAL (*Signature and title*): Agency Records Officer, AMS-410 — DATE:

3. AGENCY CONTACT (OPI) — TRANSFERRING AGENCY LIAISON OFFICIAL (*Name, office and telephone No.*): (Office/Service Records Officer's Name, Routing Symbol and Telephone Number)

4. RECORDS CENTER RECEIPT — RECORDS RECEIVED BY (*Signature and title*): (Leave blank) — DATE:

Fold line

6. RECORDS DATA

ACCESSION NUMBER			VOLUME (*cu. ft.*)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (*With inclusive dates of records*)	RESTRICTION	DISPOSAL AUTHORITY (*Schedule and item number*)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
237	(FY)	(Seq. No.)	(Total No. of boxes)		(General Description - includes the Title of the records, a brief description of the contents of the records, and the Closed as of date)	R	(Disposal Authority and Schedule Item Number)	(MO/YR)	(Leave blank)			
					(and, when necessary)							
				(Individual box numbers)	(Description breakdown of the folders or subject contents of each box)							

135-106

Standard Form 135 (Rev. 6-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

RECEIPT OF THE TRANSFER AUTHORIZATION FROM THE WRNC

1. The Agency Records Officer in AMS-410 shall receive two copies of the authorized SF-135 from the WRNC. The copies WILL NOT be signed by the WRNC, but will have the following:

a. The date the SF-135 was authorized for transfer, and

b. The statement, "RETURN 1 CY OF THIS SF-135 IN BOX 1 OF FIRST ACCESSION".

NOTE: Upon receipt of the SF-135 authorization for transfer, the FAA has ONLY 90 DAYS to transfer the boxes to the WRNC. Failure to comply with this deadline will result in the cancellation of the accession and records transfer. A new SF-135 and assignment of a new accession number will have to be prepared if the boxes have not been sent to the WRNC within the 90 day timeframe.

2. The Agency Records Officer, AMS-410, shall:

a. Contact the OPI's Records Officer to arrange for box pickup/transfer.

b. Place one copy of the authorized SF-135 in the first box of the shipment.

c. Arrange with the building manager, the pickup of the boxes.

RECEIPT OF THE APPROVED SF-135 FROM THE WNRC

The Agency Records Officer, AMS-410 shall, upon receipt of the approved SF-135 from the WNRC:

1. Send a copy of the approved SF-135 to the OPI's Records Officer for future reference.

2. File the original approved SF-135 in AMS-410.

NOTE: The OPI SHOULD NOT DESTROY the approved SF-135. This is the only document that indicates what records were sent, what their disposal action is and where the boxes are located at the WNRC.

REQUESTING RECORDS FROM THE WNRC

Offices requesting transferred records shall prepare an OF-11, Reference Request - Federal Records Center for records located at the WNRC. The form shall be sent through the Office/Service Records Officer in their area and then to the Agency Records Officer in AMS-410 for approval.

The Requesting Office shall:

1. Determine what records are needed to be retrieved from the WNRC.

2. Determine the accession number and location of the records from the approved SF-135 located with the originating office. (Contact the Agency Records Officer in AMS-410, if a copy of the SF-135 is not available.)

3. Prepare an OF-11, Reference Request - Federal Records Centers form, for each accession requested:

a. Section I:

(1) Record Group No. - Should match block 6(a) on the SF-135

(2) Accession No. - Should match block 6(b) and (c) on the SF-135

(3) Agency Box Number - Should match block 6(e) on the SF-135

(4) Records Center Location - Should match block 6(j),(k),(l), and (m) on the SF-135. NOTE: Contact the Agency Records Officer in AMS-410 to confirm the location of the records.

(5) Description of Records or Information Requested - Include the folder(s) identification when requesting individual files or the general description (found on the SF-135) when requesting the entire box or boxes from the WNRC. NOTE: It is better to request entire folders or boxes of records instead of individual documents within a folder.

(6) Remarks - Indicate the Name, Routing Symbol, and Telephone Number of the Office/Service Records Officer.

(7) Nature of Service - check appropriate box

(8) Name of Requestor and Telephone Number - indicate the Name and Telephone Number of the Agency Records Officer in AMS-410, e.g. Rita Ann Westerfeld, 267-9894.

(9) Name and Address of Agency - Indicate the following:

Federal Aviation Administration
(Name, Routing Symbol and Room Number
of the Requesting Originator of the Records)
800 Independence Avenue, S.W.
Washington, DC 20591

b. Section III - Indicate the following:

STOP 386 RETRIEVAL SECTION
WASHINGTON, DC 20409

4. Send the completed OF-11 to the Office/Service Records Officer for review and approval.

NOTE: The requesting office and the Office/Service Records Officer is responsible for returning the records to the WNRC after the requesting office is finished reviewing the records requested. Records can be returned to the WNRC through normal mailing procedures. However, please include a copy of the OF-11 that accompanied the records when they were requested. If the OF-11 is not available, indicate the entire accession number (includes the Record Group No.), the box identification number and the location of the records at the WNRC for proper filing of the returned records.

The Office/Service Records Officer shall:

1. Review the OF-11 from the requesting office.

2. Sign the OF-11 in the "Remarks" portion of Section I of the form.

3. Send the OF-11 to the Agency Records Officer in AMS-410 for final processing.

The Agency Records Officer in AMS-410 shall:

1. Review the OF-11 in accordance with established procedures.

2. Indicate the records requested information on the Reference Requests Log.

3. Pull the pink copy of the OF-11 and file.

4. Send the OF-11 to the WNRC for action.

REFERENCE REQUEST—FEDERAL RECORDS CENTERS

NOTE: Use a separate form for each request.

SECTION I—TO BE COMPLETED BY REQUESTING AGENCY

RECORD GROUP NO.	ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION NUMBER
(See Block 6(a))	(See Block 6(b),(c))	(no.) OF (no.)	(See block 6(j),(k),(l),(m))

DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED *(Include file number and title.)*
(Include the folder(s) identification when requesting individual files or the general description found on the SF-135, when requesting the entire folders or boxes of records instead of individual documents within a folder)

REMARKS
(Name, Routing Symbol and Telephone Number of the Office/Service Records Officer)

NATURE OF SERVICE (Check appropriate box)

☐ FURNISH COPY OF RECORD(S) ONLY ☐ PERMANENT WITHDRAWAL ☐ TEMPORARY LOAN OF RECORD(S) ☐ REVIEW ☐ OTHER *(Specify)*

NAME OF REQUESTER
RITA ANN WESTERFELD

TELEPHONE NO.
267-9894 ☒ FTS

DATE

NAME AND ADDRESS OF AGENCY *(Include street address, building, room no. and ZIP Code)*
FEDERAL AVIATION ADMINISTRATION
(Name, Routing Symbol and Room Number of
Requesting Originator of the Records)
800 Independence Avenue, S.W.
Washington, DC 20591
(In Washington, D.C. area also include STOP number)

RECEIPT OF RECORDS

Requestor please sign, date and return this form, for file item(s) listed above, *ONLY* if the block to right has been checked by the Records Center. ☐

SIGNATURE

DATE

SECTION II—FOR USE BY RECORDS CENTER

☐ RECORDS NOT IN CENTER CUSTODY ☐ RECORDS DESTROYED

☐ WRONG BOX NUMBER—PLEASE RECHECK

☐ ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED

☐ MISSING *(Neither record(s), information nor charge card found in container(s) specified)*

☐ RECORDS PREVIOUSLY CHARGED OUT TO *(Name, agency and date)*:

REMARKS

DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS

SECTION III—TO BE COMPLETED BY REQUESTING AGENCY

TO
General Services Administration
Federal Records Center NARS
STOP 389 Retrieval Section
Washington, DC 20409
(City) *(State)* *(Zip Code)*

NOTE: In Washington, D.C. area send to STOP 386

5011-106 NSN 7540-00-682-6423 *PREVIOUS EDITION USABLE* OPTIONAL FORM 11 (Rev. 9-79)
Prescribed by GSA, FPMR (41 CFR) 101-1104